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15 AUG 1997

FORM PTO-1390 (Modified)  
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

524-2769-0 PCT

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR

08/894156

INTERNATIONAL APPLICATION NO.  
PCT/EP96/00419INTERNATIONAL FILING DATE  
01 February 1996PRIORITY DATE CLAIMED  
15 February 1995

TITLE OF INVENTION

PREPARATION OF BIURET-CONTAINING POLYISOCYANATES

APPLICANT(S) FOR DO/EO/US

Bernd BRUCHMANN, et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c) (2))
  - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☒ has been transmitted by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☒ A copy of the International Search Report (PCT/ISA/210).
8. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. ☐ have been transmitted by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
9. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
10. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

## Items 13 to 18 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.  
A **SECOND** or **SUBSEQUENT** preliminary amendment.
16. ☐ A substitute specification.
17. ☐ A change of power of attorney and/or address letter.
18. ☒ Other items or information:

Notice of Priority

PCT/IB/304

PCT/IB/308

Statement of Relevancy

Cited References (3)

Request For Consideration of Documents Cited in International Search Report

08/894156 "08/97"

|  |  |   |
|--|--|---|
| U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR | INTERNATIONAL APPLICATION NO.<br><b>PCT/EP96/00419</b> | ATTORNEY'S DOCKET NUMBER<br><b>524-2769-0 PCT</b> |
|--|--|---|


|   |              |              |                          |                                  |        |
|---|--------------|--------------|--------------------------|----------------------------------|--------|
| 19. The following fees are submitted:   |              |              |                          | <b>CALCULATIONS PTO USE ONLY</b> |        |
| <b>BASIC NATIONAL FEE ( 37 CFR 1.492 (a) (1) - (5)) :</b>   |              |              |                          |                                  |        |
| Search Report has been prepared by the EPO or JPO . . . . .   |              |              |                          | \$910.00                         |        |
| International preliminary examination fee paid to USPTO (37 CFR 1.482) . . . . .  |              |              |                          | \$700.00                         |        |
| No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) . . . . .   |              |              |                          | \$770.00                         |        |
| Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO . . . . .  |              |              |                          | \$1,040.00                       |        |
| International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) . . . . .   |              |              |                          | \$96.00                          |        |
| <b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b>   |              |              |                          | \$910.00                         |        |
| Surcharge of \$130.00 for furnishing the oath or declaration later than months from the earliest claimed priority date (37 CFR 1.492 (e)). <input type="checkbox"/> 20 <input type="checkbox"/> 30      |              |              |                          | \$0.00                           |        |
| CLAIMS  | NUMBER FILED | NUMBER EXTRA | RATE                     |                                  |        |
| Total claims  | 9 - 20 =     | 0            | x \$22.00                | \$0.00                           |        |
| Independent claims  | 1 - 3 =      | 0            | x \$80.00                | \$0.00                           |        |
| Multiple Dependent Claims (check if applicable).  |              |              | <input type="checkbox"/> | \$0.00                           |        |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>  |              |              |                          | \$910.00                         |        |
| Reduction of 1/2 for filing by small entity, if applicable. Verified Small Entity Statement must also be filed (Note 37 CFR 1.9, 1.27, 1.28) (check if applicable).                                     |              |              |                          | <input type="checkbox"/>         | \$0.00 |
| <b>SUBTOTAL =</b>   |              |              |                          | \$910.00                         |        |
| Processing fee of \$130.00 for furnishing the English translation later than months from the earliest claimed priority date (37 CFR 1.492 (f)). <input type="checkbox"/> 20 <input type="checkbox"/> 30 |              |              |                          | \$0.00                           |        |
| <b>TOTAL NATIONAL FEE =</b>   |              |              |                          | \$910.00                         |        |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable).                                 |              |              |                          | <input type="checkbox"/>         | \$0.00 |
| <b>TOTAL FEES ENCLOSED =</b>  |              |              |                          | \$910.00                         |        |
|   |              |              |                          | Amount to be refunded:           | \$     |
|   |              |              |                          | charged                          | \$     |

- ☒ A check in the amount of **\$910.00** to cover the above fees is enclosed.
- ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \_\_\_\_\_ to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- ☒ The Commissioner is hereby authorized to charge any fees which may be required, or credit any overpayment to Deposit Account No. **15-0030** A duplicate copy of this sheet is enclosed.

**NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

**OBLON, SPIVAK, McCLELLAND, MAIER & NEUSTADT, P.C.**  
 Crystal Square Five, Fourth Floor  
 1755 Jefferson Davis Highway  
 Arlington, Virginia 22202  
 United States of America William E. Beaumont  
 Phone # (703) 413-3000  
 Facsimile # (703) 413-2220 Registration Number 30,996

  
 SIGNATURE  
 Norman F. Oblon  
 NAME  
 24,618  
 REGISTRATION NUMBER  
 August 15, 1997  
 DATE

524-2769-0 PCT

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF: :

BERND BRUCHMANN ET AL : ATTN: APPLICATION DIVISION

SERIAL NO: NEW APPLICATION BASED ON PCT/EP96/00419

FILED: HEREWITH :

FOR: PREPARATION OF BIURET- :  
CONTAINING POLYISOCYANATES

PRELIMINARY AMENDMENT

ASSISTANT COMMISSIONER FOR PATENTS  
WASHINGTON, D.C. 20231

SIR:

Prior to examination on the merits, please amend the above-identified application as follows:

IN THE SPECIFICATION

Please amend the specification as follows.

Page 1, before line 2, insert

--TITLE OF THE INVENTION--;

before line 4, insert

--BACKGROUND OF THE INVENTION

Field of the Invention--;

before line 16, insert

--Description of the Background--;

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before line 41, insert

--SUMMARY OF THE INVENTION--.

Page 3, before line 39, insert

--DETAILED DESCRIPTION OF THE INVENTION--.

#### IN THE CLAIMS

Please amend the claims as follows.

Claim 3, line 1, delete "or 2".

Claim 4, line 1, replace "any of claims 1 to 3" with --claim 1--.

Claim 5, line 1, replace "any of claims 1 to 4" with --claim 1--.

Claim 6, line 1, replace "any of claims 1 to 5" with --claim 1--.

Claim 7, line 1, replace "any of claims 1 to 6" with --claim 1--.

Claim 9, line 1, replace "any of claims 1 to 7" with --claim 1--.

#### REMARKS

Claims 1-9 are active in the present application.

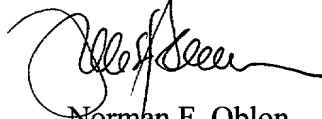
The specification has been amended to insert section headings. The claims have been amended to remove multiple dependencies. No new matter has been added.

Applicants submit that the present application is ready for examination on the merits.

Early notice to this effect is earnestly solicited.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,  
MAIER & NEUSTADT, P.C.



Norman F. Oblon  
Attorney of Record  
Registration No. 24,618

William E. Beaumont  
Registration No. 30,996

Crystal Square Five - Fourth Floor  
1755 Jefferson Davis Highway  
Arlington, Virginia 22202  
(703) 413-3000  
NFO:WEB/lab

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08/894156

Preparation of biuret-containing polyisocyanates

The present invention relates to a process for the preparation of  
5 polyisocyanates which contain one or more biuret groups, by  
reacting

- a) an aliphatic or cycloaliphatic polyisocyanate (isocyanate a)  
with  
10 b) a tertiary alcohol or a mixture of water and a tertiary  
alcohol (biuretizing agent b)

at from 100 to 250°C.

15

In the text below, the adjective "biuret-containing" indicates  
that the compounds it describes have a content of biuret groups.

The preparation of biuret-containing polyisocyanates is a  
20 reaction which has been described at some length (cf. H.J. Laas  
et al., J. prakt. Chem. 336 (1994) 185-200).

Numerous patents disclose, for example, the reaction of water  
with an excess of polyvalent isocyanates to give, first of all,  
25 urea groups, which undergo further reaction with the isocyanates  
to form biuret groups (cf. DE-A 1 101 394). The difficulty of  
preparing homogenous mixtures of water and the isocyanate means  
that in the course of this reaction, in practice, local excesses  
of water always result in the formation of greater or lesser  
30 proportions of insoluble polymeric urea-containing compounds  
which are deposited in the reaction vessel or in the off-gas  
space.

US-A 4 028 392 describes a process in which this problem is  
35 avoided by employing water in the form of an aqueous solution  
with a solvent which is inert to isocyanates. The disadvantage  
here is the need to separate the solvent from the product again  
by distillation.

40 These problems can be overcome using the process known from  
DE-A 1 543 178, in which a monohydric tertiary alcohol such as  
tert-butanol is used instead of water. The alcohol reacts at 70°C  
or more with an excess of isocyanate to form biuret-containing  
polyisocyanates and, as by-products, an olefin - isobutene for  
45 example - and CO<sub>2</sub>, which can be removed from the reaction mixture  
with ease.

## 2

It is probable that the alcohol and the isocyanate react initially to form a urethane which decomposes into an amine, CO<sub>2</sub> and an olefin, and that the amine reacts with further isocyanate to give urea derivatives, and then to give biuret-containing  
5 polyisocyanates.

This reaction is preferably carried out in the presence of catalysts, with those recommended for this being acids such as strong inorganic Lewis and Brönstedt acids (cf. DE-A 1 543 178)  
10 and salts of nitrogen-containing bases and inorganic and/or organic acids (cf. DE-A 1 931 055).

Biuret-containing polyisocyanates are employed in particular in the paint industry as curing agents in coating systems whose  
15 binders generally comprise polymers having isocyanate-reactive groups.

So that the coating systems cure within a short period after application to a substrate to give coatings of good mechanical  
20 properties and high resistance to chemicals, it is necessary for the biuret-containing polyisocyanates to have a high content of NCO groups and a high level of reactivity with respect to the reactive groups in the binders.

25 In addition, the proportion of volatile isocyanates should be small even after prolonged storage, so as to enable safe processing of the biuret-containing polyisocyanates without the need for special safety precautions. So that these can be used to produce coating systems which exhibit good flow properties and a  
30 low solvent content, the paint industry demands products which at the same time are of low viscosity. Furthermore, the inherent color of the products should be minimal.

The biuret-containing polyisocyanates prepared by the known  
35 processes from tertiary alcohols and isocyanates, however, leave much to be desired, since they are too dark in color for many applications and, in particular after prolonged storage, still include considerable quantities of readily volatile monomeric isocyanates.

40 It is the object of the invention to provide an economic process by whose use it is possible to prepare biuret-containing polyisocyanates which are pale in color and whose content of volatile isocyanates, in particular after prolonged storage, is  
45 low.

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We have found that this object is achieved by a process for the preparation of polyisocyanates which contain one or more biuret groups, by reacting

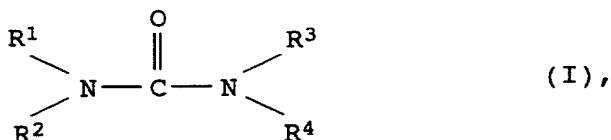
- 5 a) an aliphatic or cycloaliphatic isocyanate containing two or more isocyanate groups (isocyanate a) with
- b) a tertiary alcohol or a mixture of water and a tertiary alcohol (biuretizing agent b)

10

at from 100 to 250°C, which comprises carrying out the reaction in the presence

- c) of a stabilizer (c) which constitutes a catalytic amount of urea, ammonia, biuret, a urea derivative of the formula I

15



20

in which R<sup>1</sup>, R<sup>2</sup>, R<sup>3</sup> and R<sup>4</sup> are hydrogen, C<sub>1</sub> to C<sub>10</sub> alkyl or C<sub>5</sub> to C<sub>10</sub> aryl, or

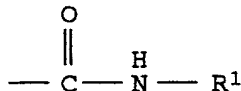
- 25 a carboxamide of the formula II



30

in which R<sup>5</sup> is C<sub>1</sub> to C<sub>12</sub> alkyl which is unsubstituted or in which 1, 2 or 3 hydrogen atoms are replaced by a radical

35



- Among the starting materials for the process of the invention,
- 40 suitable isocyanates (a) are polyfunctional isocyanates, especially aliphatic and cycloaliphatic di- and triisocyanates containing 4 to 30 carbon atoms. Particular examples are diisocyanates X(NCO)<sub>2</sub> in which X is an aliphatic hydrocarbon radical of 4 to 12 carbon atoms or a cycloaliphatic hydrocarbon
- 45 radical of 6 to 15 carbon atoms. Of particular significance in this respect are the commercially available starting compounds which are prepared industrially by the phosgenization of diamines



## 4

by the process as described, for example, in DE-C 20 05 309 and DE-A 2 404 773 and by the phosgene-free process (biurethane cleavage) described in EP-B-0 126 299 (US-A-4 596 678), EP-B-0 126 300 (US-A-4 596 679), EP-A-0 355 443 (US-A-5 087 739) 5 and EP-A-0 568 782.

These are, in particular, 1,6-diisocyanatohexane (HDI), 1-isocyanato-3-isocyanatomethyl-3,5,5-trimethylcyclohexane (IPDI) and bis(4-isocyanatocyclohexyl)methane.

## 10

Starting compounds which are of less importance in practice but of equal suitability in principle are isocyanates comprising 3 or more isocyanate groups, for example those which in addition include allophanate or isocyanurate groups. Examples of these are 15 the corresponding derivatives of HDI which are prepared by trimerization of HDI (cf. Kunststoff-Handbuch, volume 7, pp. 94 to 96, 3rd edition, 1993, Carl Hanser Verlag).

Particularly suitable biuretizing agents (b) are the tertiary 20 alcohols specified in DE-A 1 543 178, ie. especially monohydric alcohols of 4 to 20 carbon atoms, examples being 2-methyl-2-butanol, 2-methyl-2-pentanol, 3-methyl-3-pentanol, 3-ethyl-3-pentanol, 3-ethyl-3-nonanol, 3-methyl-1-butyn-3-ol, 3-methyl-1-pentyn-3-ol, 3,5-dimethyl-1-hexyn-3-ol, 25 1-methylcyclopentanol, 1-methylcyclohexanol, 1-ethylcyclohexanol, 1,1-diphenylethanol, 1,1,2-triphenylethanol and, in particular, tert-butyl alcohol. Mixtures of these alcohols are of course also suitable.

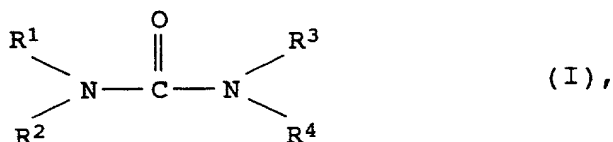
30 In addition to the tertiary alcohols, water in the form of an aqueous solution with the tertiary alcohols can also be used to biuretize the isocyanates (a). In this context, particularly suitable solutions of tertiary alcohol and water are those containing up to 80 mol%, preferably up to 40 mol%, of water, 35 based on the sum of the components of the mixture, since at these mixing ratios water is incorporated homogeneously and no oligomeric or polymeric urea derivatives, which precipitate from the reaction mixture, are formed in the course of the reaction with the isocyanates (a).

## 40

In accordance with the invention, the isocyanate (a) is reacted with the biuretizing agent (b) in the presence of catalytic amounts of a stabilizer (c).

45 Suitable stabilizers (c) are urea, ammonia, biuret, a urea derivative of the formula I

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in which  $\text{R}^1$ ,  $\text{R}^2$ ,  $\text{R}^3$  and  $\text{R}^4$  are hydrogen,  $\text{C}_1$  to  $\text{C}_{10}$  alkyl, preferably methyl or ethyl, or  $\text{C}_5$  to  $\text{C}_{10}$  aryl, preferably phenyl or benzyl, or

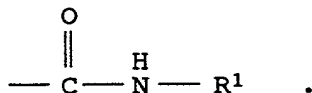
10 a carboxamide of the formula II



15

in which  $\text{R}^5$  is a  $\text{C}_1$  to  $\text{C}_{12}$  alkyl, preferably  $\text{C}_1$  to  $\text{C}_6$  alkyl, which is unsubstituted or in which 1, 2 or 3 hydrogen atoms are replaced by a radical

20



Examples of suitable urea derivatives are N-methylurea,

25 N,N-dimethylurea, N,N'-dimethylurea, N-ethylurea, N,N-diethylurea, N,N'-diethylurea, ethyleneurea and N-phenylurea.

Suitable carboxamides of the formula II are formamide, N-methylformamide, acetamide, malonamide and succinamide.

30

The stabilizers (c) are preferably employed in quantities of from 0.01 to 2.0 mol%, and with particular preference in quantities of from 0.05 to 1 mol%, based on the isocyanate groups in (a).

35 Using the process of the invention, the biuret-containing polyisocyanate can be prepared either continuously or batchwise.

A suitable apparatus for continuous preparation is, for example, a reactor cascade comprising a plurality of individual reactors

40 through which there is a continuous flow.

Batchwise preparation can be carried out, for example, in a stirred reactor.

45

## 6

Normally, the isocyanate (a) is taken as initial charge and the biuretizing agent (b), in which the stabilizer (c) is advantageously already dissolved, is metered in.

- 5 The reaction is preferably carried out in bulk, although to reduce the viscosity it is also possible to use a solvent which is inert to isocyanate groups. Suitable solvents are those mentioned in DE-A 1 543 178, dioxane, tetrahydrofuran, triethylene glycol diacetate, toluene, benzene, chlorobenzene, 10 o-dichlorobenzene, butyl acetate, ethylene glycol monoethyl ether acetate and methylene chloride.

- In general the reaction is carried out under atmospheric pressure, although higher pressures of 1 to 10 bar are advisable, 15 for example, when using solvents or isocyanates (a) which boil below the preferred reaction temperatures.

- At the preferred temperatures, the reaction times are in general from 2 to 5 h. The reaction time is advantageously chosen such 20 that the theoretical NCO value is reached at the end. The theoretical NCO value is that NCO value possessed by the reaction mixture if the entire quantity of biuretizing agent employed has formed the quantity of biuret groups which are to be expected from theory.

- 25 As is known, the result of reacting an isocyanate group with a molecule of water or tertiary alcohol is an amino group which reacts with two further isocyanate groups to form a biuret group. Since the starting compounds employed include polyfunctional 30 isocyanates, the growth of the biuret-containing polyisocyanates therefore takes place in accordance with the kinetics of crosslinking reactions (cf. B. Vollmert, Grundriß der Makromolekularen Chemie, volume II, pp. 247 to 260, Vollmert-Verlag, Karlsruhe, 1988), with each biuret group forming 35 a branching point. In order to avoid the formation of relatively large branched-chain associations with two or more branching points, or even the occurrence of gelling, it is generally advisable to employ from 0.5 to 20 mol%, preferably from 2 to 10 mol%, of biuretizing agent, based on the isocyanate groups in 40 (a).

- Under these conditions, the isocyanates (a) react with the biuretizing agents predominantly to form mixtures of biuret-containing polyisocyanates whose principal component 45 comprises those biuret-containing polyisocyanates which are

composed of three units derived from the isocyanate (a),  
containing only one biuret group.

Otherwise, it is possible by simple prior experimentation or  
5 calculation to determine the stoichiometric ratios at which  
mixtures of biuret-containing polyisocyanates are formed which  
have the desired average degree of polymerization.

In general, in order to obtain products which do not release  
10 hazardous quantities of isocyanates during processing, it is  
necessary to separate off the majority of the unreacted  
isocyanates (a) from the biuret-containing polyisocyanates  
formed. The usual desire is for products whose content of  
monomeric isocyanates (a) is less than 1% by weight, preferably  
15 less than 0.5% by weight, based on said biuret-containing  
polyisocyanates. The separation of the isocyanates (a) is  
advantageously carried out under reduced pressure at between 50°C  
and the chosen reaction temperature, for example by distilling  
off these isocyanates.

20 In the paint industry, the desire is in particular for  
biuret-containing polyisocyanates which are substantially free of  
solvents and from the isocyanates (a) used as starting materials,  
and which have a viscosity of from 2000 to 15,000 mPa·s,  
25 preferably from 2500 to 10,000 mPa·s (measured at a temperature of  
23°C and a shear gradient of 100 s<sup>-1</sup>).

Products with these viscosities are in general obtained when the  
stoichiometry of the starting products, the isocyanates (a) and  
30 the biuretizing agents (b), is chosen in accordance with the  
recommendation.

The products obtained by this process are distinguished in  
particular in that they couple comparatively low viscosity and a  
35 low content of volatile isocyanates of low molecular weight, like  
the isocyanates (a) used as starting materials, with a high NCO  
content and a high reactivity with respect to the binders  
employed in coatings, said binders containing isocyanate-reactive  
groups and being, for example, hydroxyl-containing polyacrylates.  
40 Particular advantages are that the content of volatile  
isocyanates does not rise even on prolonged storage of the  
products, and that the products are substantially colorless.

The products obtained by the process of the invention are  
45 particularly suitable as curing agents in the paint industry. The  
processing of these curing agents to give coating formulations,

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## 8

and the coatings produced therefrom, are items of general knowledge.

## Examples

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General preparation procedure for the biuret-containing polyisocyanates (a)

504 g (3 mol) of 1,6-hexamethylene diisocyanate (HDI) are charged  
10 under nitrogen blanketing to a 1 l stirred reactor, and are  
heated to the reaction temperature indicated in the tables below.  
Then 14 mol%, based on the HDI, of biuretizing agent (b) and,  
dissolved therein, 0.2 mol%, based on the HDI, of the stabilizer  
(c) or of the acidic catalyst are added over the course of 2 min  
15 and the reaction mixture is stirred for 3 h. The reaction mixture  
is then distilled on a thin-film evaporator at 165°C and 2.5 mbar.

Departing from the above indications, the quantity of urea  
employed was

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0.4 mol% in Example 11,  
0.6 mol% in Example 12, and  
1.0 mol% in Example 13,

25 based in each case on the quantity of HDI.

30

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40

45

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Table 1

| Ex. | Biuretizing agent<br>(b) | Stabilizer<br>(c) | Temp.<br>[°C] | NCO<br>content<br>[% by wt.] | Viscosity<br>[mPa·s] | C N<br>[Hazen] | Monomer content<br>0 d<br>[% by wt.] | Monomer content<br>21 d<br>[% by wt.] |
|-----|--------------------------|-------------------|---------------|------------------------------|----------------------|----------------|--------------------------------------|---------------------------------------|
| 1   | tert-Butanol (tBuOH)     | UR                | 180           | 22.0                         | 4350                 | 5              | 0.15                                 | 0.25                                  |
| 2   | tBuOH                    | Eth UR            | 180           | 22.7                         | 2290                 | 10             | 0.20                                 | 0.41                                  |
| 3   | tBuOH:water 19:1         | UR                | 170           | 22.4                         | 3340                 | 7              | 0.08                                 | 0.22                                  |
| 4   | tBuOH:water 19:1         | UR                | 190           | 22.0                         | 6030                 | 10             | 0.10                                 | 0.21                                  |
| 5   | tBuOH:water 19:1         | Eth UR            | 180           | 22.7                         | 2200                 | 12             | 0.15                                 | 0.45                                  |
| 6   | tBuOH:water 19:1         | DM UR             | 180           | 22.7                         | 2280                 | 15             | 0.13                                 | 0.43                                  |
| 7   | tBuOH:water 4.6:1        | UR                | 180           | 22.2                         | 5550                 | 5              | 0.11                                 | 0.23                                  |
| 8   | tBuOH:water 1.8:1        | UR                | 180           | 22.0                         | 6480                 | 2              | 0.13                                 | 0.28                                  |
| 9   | tBuOH:water 1:1          | UR                | 180           | 22.2                         | 5450                 | 4              | 0.14                                 | 0.31                                  |
| 10  | tBuOH:water 0.27:1       | UR                | 180           | 21.4                         | 12,600               | 10             | 0.14                                 | 0.28                                  |
| 11  | tBuOH:water 1:1          | UR                | 180           | 22.0                         | 6120                 | 12             | 0.12                                 | 0.27                                  |
| 12  | tBuOH:water 1:1          | UR                | 180           | 21.3                         | 11,560               | 18             | 0.12                                 | 0.29                                  |
| 13  | tBuOH:water 1:1          | UR                | 180           | 20.8                         | 18,200               | 22             | 0.13                                 | 0.25                                  |
| 14  | tBuOH:water 19:1         | Biuret            | 180           | 22.0                         | 3860                 | 15             | 0.14                                 | 0.27                                  |
| 15  | tBuOH:water 19:1         | Acetamide         | 180           | 22.6                         | 3020                 |                | 0.17                                 | 0.31                                  |
| 16  | tBuOH:water 19:1         | Samid             | 180           | 22.5                         | 3000                 |                | 0.14                                 | 0.34                                  |
| 17  | tBuOH:water 19:1         | Ammonia           | 180           | 22.0                         | 2340                 | 28             | 0.21                                 | 0.50                                  |

Table 2

| Comp.<br>Ex. | Biuretizing agent<br>(b) | Acidic<br>catalysts | Temp.<br>[°C] | NCO<br>content<br>[% by wt.] | Viscosity<br>[mPa.s] | C N<br>[Hazen] | Monomer content<br>0 d<br>[% by wt.] | Monomer content<br>21 d<br>[% by wt.] |
|--------------|--------------------------|---------------------|---------------|------------------------------|----------------------|----------------|--------------------------------------|---------------------------------------|
| 1            | tert-Butanol (tBuOH)     | BF <sub>3</sub>     | 150           | 22.9                         | 2550                 | 206            | 0.09                                 | 0.69                                  |
| 2            | tBuOH                    | PTSS                | 150           | 21.7                         | 5400                 | 350            | 0.05                                 | 0.48                                  |
| 3            | tBuOH                    | DEHP                | 180           | 22.0                         | 4840                 | 42             | 0.07                                 | 0.42                                  |
| 4            | tBuOH                    | EHA                 | 180           | 22.0                         | 4660                 | 38             | 0.09                                 | 0.42                                  |
| 5            | tBuOH                    | HAC                 | 180           | 22.1                         | 4330                 | 55             | 0.08                                 | 0.40                                  |
| 6            | tBuOH                    | -                   | 180           | 22.9                         | 2130                 | 44             | 0.09                                 | 0.53                                  |
| 7            | tBuOH:water 19:1         | PTSS                | 180           | 22.0                         | 5550                 | 371            | 0.11                                 | 0.91                                  |
| 8            | tBuOH:water 19:1         | PTSS                | 150           | 21.8                         | 5360                 | 256            | 0.03                                 | 0.49                                  |
| 9            | tBuOH:water 19:1         | DEHP                | 180           | 22.4                         | 3800                 | 32             | 0.10                                 | 0.53                                  |
| 10           | tBuOH:water 19:1         | EHA                 | 180           | 22.4                         | 3650                 | 10             | 0.15                                 | 0.63                                  |
| 11           | tBuOH:water 19:1         | ClAc                | 180           | 22.3                         | 3970                 | 56             | 0.14                                 | 0.53                                  |
| 12           | tBuOH:water 19:1         | -                   | 180           | 22.7                         | 2090                 | 32             | 0.12                                 | 0.61                                  |

## Notes on Tables 1 and 2

## Compounds employed

5

The biuretizing agents employed were tert-butanol (tBuOH) and mixtures thereof with water. The figures given thereafter indicate the molar ratio of the components in the mixture

- 10 UR = urea  
EthUR = ethyleneurea  
DM UR = N,N'-dimethylurea  
BF<sub>3</sub> = boron trifluoride as the dihydrate  
PTSA = p-toluenesulfonic acid  
15 DEHP = di(2-ethylhexyl) phosphate  
EHA = 2-ethylhexanoic acid  
HAc = acetic acid  
Samid = succinamide  
ClAc = chloroacetic acid  
20 Ammonia = ammonia in the form of a 25% strength by weight aqueous solution

## NCO content:

The NCO content is given in % by weight and was measured in

25 accordance with DIN 53 185.

## Viscosity:

The viscosity data relate to measurements made at 23°C with a shear gradient of 100 s<sup>-1</sup>.

30

## Color number (CN):

The color number was determined in accordance with DIN ISO 6271 and is indicated in Hazen scale units.

35 Monomer content:

The monomer content indicates the quantity of monomeric isocyanate in % by weight present in the respective biuret-containing polyisocyanate directly after preparation (0 d) or after storage for 21 days at 50°C (21 d). It was measured in

40 accordance with DIN 55 956.



We claim:

1. A process for the preparation of a polyisocyanate which  
5 contains one or more biuret groups by reacting

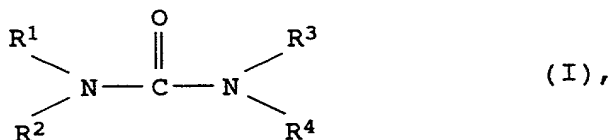
- a) an aliphatic or cycloaliphatic isocyanate containing two  
or more isocyanate groups (isocyanate a) with
- 10 b) a tertiary alcohol or a mixture of water and a tertiary  
alcohol (biuretizing agent b)

at from 100 to 250°C, which comprises carrying out the  
reaction in the presence

15

- c) of a stabilizer (c) which constitutes a catalytic amount  
of urea, ammonia, biuret, a urea derivative of the  
formula I

20



25

in which R<sup>1</sup>, R<sup>2</sup>, R<sup>3</sup> and R<sup>4</sup> are hydrogen, C<sub>1</sub> to C<sub>10</sub> alkyl  
or C<sub>5</sub> to C<sub>10</sub> aryl, or

a carboxamide of the formula II

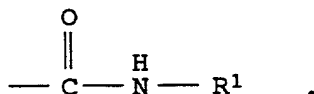
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in which R<sup>5</sup> is C<sub>1</sub> to C<sub>12</sub> alkyl which is unsubstituted or  
in which 1, 2 or 3 hydrogen atoms are replaced by a  
radical

40



2. A process as claimed in claim 1, wherein the isocyanate (a)  
is a C<sub>4</sub> to C<sub>20</sub> diisocyanate or triisocyanate.

45

3. A process as claimed in claim 1 or 2, wherein the isocyanate (a) is hexamethylene-1,6-diisocyanate.
4. A process as claimed in any of claims 1 to 3, wherein the biuretizing agent (b) is a tertiary alcohol or a mixture of a tertiary alcohol and water including up to 80 mol% of water based on the sum of the components of the mixture.
5. A process as claimed in any of claims 1 to 4, wherein the tertiary alcohol is tert-butanol.
6. A process as claimed in any of claims 1 to 5, wherein from 0.5 to 20 mol% of biuretizing agent (b) are employed, based on the isocyanate groups in (a).
7. A process as claimed in any of claims 1 to 6, wherein from 0.01 to 2.0 mol% of a stabilizer (c) are employed, based on the isocyanate groups in (a).
8. A process as claimed in any of claims 1 to 7, wherein the reaction is carried out at from 140 to 220°C.
9. A process as claimed in any of claims 1 to 7, wherein the polyisocyanate containing biuret groups is prepared and then unreacted isocyanate (a) is removed from it down to a content of less than 0.5% by weight, based on the polyisocyanate which contains biuret groups.

## Preparation of biuret-containing polyisocyanates

## Abstract

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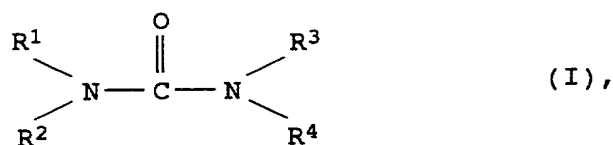
A process for the preparation of polyisocyanates which contain one or more biuret groups, by reacting

- a) an aliphatic or cycloaliphatic isocyanate containing two or more isocyanate groups (isocyanate a) with
- b) a tertiary alcohol or a mixture of water and a tertiary alcohol (biuretizing agent b)

15 at from 100 to 250°C, which comprises carrying out the reaction in the presence

- c) of a stabilizer (c) which constitutes a catalytic amount of urea, ammonia, biuret, a urea derivative of the formula I

20

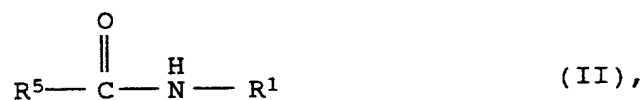


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in which R<sup>1</sup>, R<sup>2</sup>, R<sup>3</sup> and R<sup>4</sup> are hydrogen, C<sub>1</sub> to C<sub>10</sub> alkyl or C<sub>5</sub> to C<sub>10</sub> aryl, or

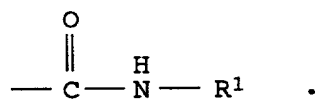
a carboxamide of the formula II

30



35 in which R<sup>5</sup> is C<sub>1</sub> to C<sub>12</sub> alkyl which is unsubstituted or in which 1, 2 or 3 hydrogen atoms are replaced by a radical

40



45

# Declaration, Power of Attorney

Page 1 of 4

O. Z. 0050/45630

We (I), the undersigned inventor(s), hereby declare(s) that:

My residence, post office address and citizenship are as stated below next to my name,

We (I) believe that we are (I am) the original, first, and joint (sole) inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Preparation of biuret-containing polyisocyanates

the specification of which

☐ is attached hereto.

☐ was filed on \_\_\_\_\_ as

Application Serial No. \_\_\_\_\_

and amended on \_\_\_\_\_.

☒ was filed as PCT international application

Number PCT/EP 96/00419

on 01/02/1996

and was amended under PCT Article 19

on \_\_\_\_\_ (if applicable).

We (I) hereby state that we (I) have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

We (I) acknowledge the duty to disclose information known to be material to the patentability of this application as defined in Section 1.56 of Title 37 Code of Federal Regulations.

We (I) hereby claim foreign priority benefits under 35 U.S.C. § 119(a)–(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed. Prior Foreign Application(s)

| Application No. | Country                     | Day/Month/Year     | Priority Claimed  |
|-----------------|-----------------------------|--------------------|---|
| 19505035.5      | Federal Republic of Germany | 15th February 1995 | <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No |

O. Z. 0050/45630

We (I) hereby claim the benefit under Title 35, United States Codes, § 119(e) of any United States provisional application(s) listed below.

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 (Application Number)

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 (Filing Date)

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 (Application Number)

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 (Filing Date)

We (I) hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR § 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application.

Application Serial No.

Filing Date

Status (pending, patented,  
abandoned)

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And we (I) hereby appoint: Norman F. Oblon, Registration Number 24, 618;  
 Marvin J. Spivak, Registration Number 24, 913;  
 Gregory J. Maier, Registration Number 25, 599;  
 William E. Beaumont, Registration Number 30, 996;  
 Steven B. Kelber, Registration Number 30, 073;  
 Jean-Paul Lavalleye, Registration Number 31, 451;  
 Timothy R. Schwartz, Registration Number 32, 171;  
 Stephen G. Baxter, Registration Number 32, 884;  
 Richard L. Treanor, Registration Number 36, 379;  
 Robert W. Hahl, Registration Number 33, 893, our (my) attorneys, with full powers

of substitution and revocation, to prosecute this application and to transact all business in the Patent Office connected therewith; and we (I) hereby request that all correspondence regarding this application be sent to the firm of **OBLON, SPIVAK, McCLELLAND, MAIER & NEUSTADT, P. C.**, whose Post Office Address is: Fourth Floor, 1755 Jefferson Davis Highway, Arlington, Virginia 22202.

We (I) declare that all statements made herein of our (my) own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

O. Z. 0050/45630

1-00 Bernd Bruchmann  
NAME OF FIRST OR SOLE INVENTOR

Bernd Bruchmann  
Signature of Inventor

Date 16/02/1996

Residence: Giselherstr.79  
67069 Ludwigshafen DE  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

2-00 Stefan Wolff  
NAME OF SECOND JOINT INVENTOR

Stefan Wolff  
Signature of Inventor

Date 16/02/1996

Residence: Carl-Bosch-Str.43  
67117 Limburgerhof DE  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

3-00 Wolfgang Heider  
NAME OF THIRD JOINT INVENTOR

Wolfgang Heider  
Signature of Inventor

Date 16/02/1996

Residence: Maconring 97  
67434 Neustadt DE  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

4-00 Joachim Jähme  
NAME OF FOURTH JOINT INVENTOR

Joachim Jähme  
Signature of Inventor

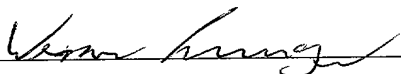
Date 16/02/1996

Residence: L.-v.-Heyl-Str.4h  
67240 Bobenheim-Roxheim DE  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

O. Z. 0050/45630

500 Werner Langer  
NAME OF FIFTH JOINT INVENTOR

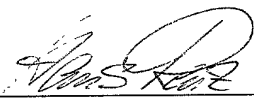
  
Signature of Inventor

Date 16/02/1996

Residence: Wittelsbachstr.41  
67061 Ludwigshafen DEX  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

600 Hans Renz  
NAME OF SIXTH JOINT INVENTOR

  
Signature of Inventor

Date 16/02/1996

Residence: Gartenstr.45  
67149 Meckenheim  
Federal Republic of Germany

Citizen of: Germany  
Post Office Address: same as residence

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